

S.E.C. VS. SAMUEL H. SLOAN, ET-ANO

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DATE	PROCEEDINGS	Date Order or Judgment Noted
Jun17-71	Filed Complaint. Issued Summons.	
Jun 18-71	Filed Request and order that Sheldon G. Kanoff make service of summons and complaint. So ordered. Clerk.	
Jun 21-71	Filed Order to Show Cause re: Temp. Restraining order and freeze on assets. RET. 6/22/71 in Room 506. Ordered that pending determination of this motion for a preliminary injunction defts. Samuel H. Sloan & Co. and Samuel H. Sloan, their officers, etc. are restrained as indicated. McLean, J.	
Jun 21-71	Filed Pltf's Memorandum in support of its motion for a Pre. Inj.	
Jun 24-71	Filed CONSENT ORDER OF PRELIMINARY INJUNCTION. Ordered that defts. Samuel H. Sloan & Co. and Samuel H. Sloan, their officers, etc. are preliminarily enjoined as indicated. McLean, J. (mailed notice).	
Jun 30-71	Filed summons with proof of service. Served Samuel H. Sloan & Co. and Samuel H. Sloan on 6/18/71.	
Jun 30-71	Filed Affidavit of Service of Show Cause Order and Temp. Rest. Order upon Chemical Bank on 6/21/71.	
Jul. 7-71	Filed Affdvt. of Service by Sheldon G. Kanoff, Served certified copy of Consent Order of Pre. Inj. to deft. Samuel H. Sloan and Chemical Bank, on 6-25-71	
Aug. 26-71	Filed Transcript of record of proceedings, dated June 23-1971	
Jun 11.73	Filed Dft. Notice of Motion. Re: Produce documents, etc. ret. 6/26/73.	
Jun 11.73	Filed Dft. Memorandum of law & brief, etc.	
Jun 25.73	Filed Memorandum in opposition to dft's motion for discovery.	
Jun 25.73	Filed Affidavit by Alan M. Rashes for pltffs.	
Jun 22.73	Filed Affidavit by Alan M. Rashes for pltffs.	
Jun 22.73	Filed Memorandum in opposition to dft's motion for discovery.	
Aug-16-73	Filed Opinion #39767. The motion is in all respects denied. Ward J. (mailed notice)	
Aug-16-73	Filed Memo. End. on Defts. motion dated 6/11/73. Motion denied in accordance with memorandum decision filed herewith. Ward J.	
Oct. 25-73	Filed deft's (S.H. Sloan) affdvt & notice of motion to dismiss-Ret. 11-7-73.	
Nov. 2.73	Filed Special Supplemental Affidavit by Samuel H. Sloan.	
Nov. 7.73	Filed Memorandum in opposition to defts. motin for dismissal of action.	
Nov. 8-73	Filed Letter from Samuel H. Sloan to Judge Ward Re: exhibit f: answers to financial questionnaire.	
Nov. 20.73	Filed Deft. Table of Exhibits.	
Nov. 21.73	Filed Memo. End. on XXXXXX motion dated 10/25/73. Motion denied in accordance with memorandum decision filed herewith. XXXX Ward J. (mailed notice)	
Nov. 21.73	Filed Memorandum Order. Accordingly, the motion is in all respects denied. Ward J. (mailed notice)	
Nov. 27.73	Filed Deft. Notice of Motion. Re: Costs. ret. 12/4/73.	
Dec. 4.73	Filed Memorandum in opposition to defts. motion for costs.	
Dec. 5.73	Filed Memorandum of law in support of pltffs proposed findings of fact & conclusion of law filed in support of its application for permanent injunction.	
Dec. 5.73	Filed Proposed Findings of Fact & Conclusions of Law by pltff.	
Dec. 10.73	Filed Proposed findings of fact & Conclusions of law.	
Dec. 13-73	Filed order permitting Robt. W. Taylor to withdraw as atty for deft.--Ward, J. mailed notices.	
Dec 11-73	<i>trial begun</i>	
Dec 12-73	<i>trial continues</i>	
Dec 13-73	"	
Dec 20-73	"	
Dec 21-73	<i>Concluded Dec. Res.</i>	
Jan. 7.74	Filed Opinion #40178. Findings of Fact & Conclusions of Law. Unless permanently enjoined, there is a likelihood that the defts. will continue to engage in violatins of the Exchange Act and the rules promulgated thereunder. Settle Order on Notice. Ward J. (mailed notice) (continued)	

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WARD J.

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DATE	FILINGS—PROCEEDINGS	AMOUNT REPORTED IN EMOLUMENT RETURNS
Dec.27.73	Filed Deposition of Joseph Frank Iny dated 6/23/71.(mailed notice)	
Jan.7.74	Filed Deft. Samuel H. Sloan Memorandum of law.	
Jan 21.74	Filed Judgment of Permanent injunction. Ordered that defts. Samuel H. X Sloan, their officers,etc., are permanently enjoined as indicated. It is further ordered that this court shall retain jurisdiction over this matter for all purposes. Ward J. Judgment Ent. 1/22/74 Clerk, Ent. 1/22/74.	
1-28-73	Filed Deposition of Joseph Frank Iny dated 6/23/71. 12-11-12-13-73	
Mar 13.74	Filed Deft. Samuel Sloan Notice of Appeal from order dated 1/7/74. (mailed notice)	
***Jun 23,71	Filed in Court:Deft's Memo in Opposition	
Apr 4,74	Filed Letter from Samuel H. Sloan to Thomas R. Bierne dated 11-26-73	
Apr 4,74	Filed Letter from S.H. Sloan, dated 11-26-73 to W,D, Moran	
Apr.4,74	Filed Letter from S.H. Sloan to Judge Ward dated 1-11-74	
Apr 4,74	Filed Transcript of proceedings dated Dec 20,21,1973	
Apr 10.74	Filed Deft. Memorandum of Law.	
Apr 22.74	Filed Defts. Memorandum of Law.	
Apr 22.74	Filed Affidavit by Hafdis Simonarson.	
May 2.74	Filed Defts. Further Memorandum in support of motion for a stay pending appeal.	
May 9.74	Filed Deft. Samuel H. Sloan & Co. Notice of Motion. Re: New Trial. ret. 5/17/74.	
May 9-74	Filed deft's memorandum of law in support of motion for a new trial.	
Apr. 3-74	Filed deft's affdvt & notice of motion to suspend injunction pending appeal--Ret. 4-12-74.	
May 16.74	Filed Defts. Memorandum of Law for New Trial.	
May 16. 74	Filed Pltffs. Memorandum of Law in opposition for New Trial.	
5-14-74	<i>Certified Record to USCA</i>	
May 21.74	Filed Furthe Affidavit in support of motion by Samuel H.Sloan.	
Jun 24.74	Filed Deft. Notice of Motion & supporting affidavit. RE: Order Granting leave to proceed in forma pauperis on appeal,etc. ret. 7/2/74.	
Jun 25.74	Filed Memo. End. on motion dtd 5/9/74. Motion denied. Ward J.	
Jun 25.74	Filed Memo. End. on motion dtd. 4/3/74. Motion denied. Ward J.	
Jun 27.74	Filed Affidavit by Saumel H. Sloan.	
Jun 27.74	Filed Defts. Notice of Motion. Re: Reargument. ret. 7/9/74.	
Jun 27.74	Filed Deft.s Notice of Motion. Re: Vacate Judgment entered 1/18/74. Ret. 7/9/74.	
Jun 27.74	Filed Defts. Memorandum of Law.	

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DATE	FILINGS--PROCEEDINGS	AMOUNT REPORTED IN EMOLUMENT RETURNS
Jul 8.74	Filed memorandum to deft's. motions for: (1) Leave to proceed in forma pauperis; (2) Reargument; and (3) Relief from final judgment pursuant to Rule 60(b)(3) of the F.R.C.P.	
Jul 11.74	Filed Deft's reply affidavit to Pltff's memorandum of law dtd 7-8-74.	
Jul 31.74	Filed Memo. End. on motion dtd. 6/24/74. Motion denied. So Ordered Ward J. (mailed notice)	
Jul 31.74	Filed Memo. End. on motion dtd. 6/27/74. Motion denied. Ward J.	2/3
Jul 31.74	Filed Memo. End. on motion dtd. 6/27/74. Motion denied. Ward J.	2/3
Jul 27.74	Filed Deft. Notice of Motion. Re: Reargument. ret. 7/9/74.	2/3
Jul 31.74	Filed Memo. End. on motion dtd. 6/27/74. Motion denied. Ward J.	(2/3)
Aug 2-74	Filed postcards address to Judge Ward from Samuel Sloan (from Rome, Italy and East Berlin, Germany)	
Aug 2-74	Filed copy of letter from Samuel Sloan to William D. Moran dtd: Apr. 11-74.	
Aug 2-74	Filed copy of letter from Jerome Selvers to Samuel Sloan dtd: May 7-74.	
Aug 2-74	Filed letter from Samuel Sloan to Judge Ward dtd: July 16-74.	
Aug 8.74	Filed Pltffs. Designation of Exhibits.	
Aug 8.74	Certified Supplemental Record to the USCA.	
8-21-74	FILED STIPULATION RE GOV'TS EXHIBITS TO BE INDEXED AS PART OF RECORD ON APPEAL	
Sep 4.74	Filed notice of appeal from the decisions of Judge Ward denying Deft's. motions for a new trial and reargument on 6-25-74 and 7-30-74. (Notice mailed to Securities and Exchange Commission, 26 Federal Plaza, New York, N.Y.)	
Sep. 27-74	Filed notice of certification & transmittal of supplemental record on Appeal.	
Oct. 21-74	Filed notice that the supplemental record on appeal has this date been certified and transmitted to the U.S.C.A.	
Oct 23.74	XXXXXX Certified Record to the USCA (Supplemental)	
Nov 22.74	Filed Defts. Notice of Motion for the convening of a 3 Judge Court. ret. 12/3/74.	
Nov 29.74	Filed Response of the SEC to the Defts. motion to Convene a 3 Judge Constitution Court.	
Dec 5.74	Filed Memo. End. on motion dtd. 11/22/74. Motion denied. (mailed notice)	
Apr 1.75	Filed true copy of U.S.C.A. Mandate dismissing the appeal. (mailed notice)	
05-12-75	Filed Defts'. affidavit & notice of motion for an order vacating the permanent injunction entered on 1-18-74 and to dismiss the complaint, ret. 5-27-75.	
05-12-75	Filed Defts'. memorandum of law in support of motion to vacate.	
06-03-75	Filed Pltff's. response to Defts'. motion to vacate order of permanent injunction.	
06-20-75	Filed Deft's. reply memorandum in support of motion to vacate the injunction & to dismiss the complaint.	

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